

**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION
USING AN APPLICATION DATA SHEET (37 CFR 1.76)**

As the below named inventor(s), I/we declare that:

This declaration is directed to:

- ☐ The attached application, or
- ☒ Application No. 10/040,269 filed on October 29, 2001
- ☐ as amended on _____ (if applicable);

I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;

I/we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;

I/we acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me/us to be material to patentability as defined in 37 CFR 1.56, including material information which became available between the filing date of the prior application and the National or PCT International filing date of the continuation-in-part application, if applicable; and

All statements made herein of my/our own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.

FULL NAME OF INVENTOR(S)

Inventor 1 LOC X. PHAN Date: 3/11/2002

Signature: [Signature] Citizen of: United States

Inventor 2 MUHAMMAD Z. CHISHTI Date: 3/18/02

Signature: [Signature] Citizen of: United States

Inventor 3 ROSS J. MILLER Date: 3/18/02

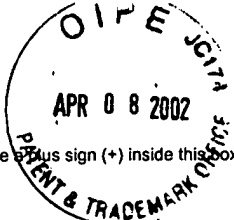
Signature: [Signature] Citizen of: United States

Inventor 4 _____ Date: _____

Signature: _____ Citizen of: _____

☐ Additional inventors are being named on form(s) attached hereto.

Please type plus sign (+) inside this box →



PTO/SB/81 (02-01)

Approved for use through 10/31/2002. OMB 0651-0035
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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POWER OF ATTORNEY OR AUTHORIZATION OF AGENT	Application Number	10/040,269
	Filing Date	10/29/2001
	First Named Inventor	PHAN, LOC X.
	Title	Attached Devices and Methods for a Dental Appliance
	Group Art Unit	Unassigned
	Examiner Name	Unassigned
	Attorney Docket Number	18563-001120US

I hereby appoint:

☒ Practitioners at Customer Number

20350

Place Customer
Number Bar Code
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OR

☐ Practitioner(s) named below:

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please change the correspondence address for the above-identified application to:

☒ The above-mentioned Customer Number.

OR

☐ Practitioners at Customer Number

☐ Firm or
Individual Name

Address

Address

City

State

ZIP

Country

Telephone

Fax

I am the:

☐ Applicant/Inventor.

☐ Assignee of record of the entire interest. See 37 CFR 3.71.

Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

SIGNATURE of Applicant or Assignee of Record

Name

BAO TRAN, Associate General Counsel

Signature

Date

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.

☒ *Total of 1 form(s) is submitted.

Burden Hour Statement: This form is estimated to take 3 minutes to complete. Time will vary depending upon the needs of the individual case. Any Comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.
PA 3202683 v1



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PTO/SB/96 (08-00)
Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Attorney Docket No. 18563-001120US
Client Ref. No. AT-00014.1

STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: PHAN, ET AL.

Application No./Patent No.: 10/040,269

Filed/Issue Date: 10/29/2001

Entitled: ATTACHMENT DEVICES AND METHODS FOR A DENTAL APPLIANCE

ALIGN TECHNOLOGY, INC.

a Delaware Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
The extent (by, percentage) of its ownership interest is _____ %

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
2. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
3. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

3/18/02
Date

BAO TRAN
Typed or printed name

[Signature]
Signature

ASSOCIATE GENERAL COUNSEL
Title

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ASSIGNMENT OF PATENT APPLICATION

COPY

JOINT

WHEREAS, LOC X. PHAN of 31 Jacklin Circle, Milpitas, California 95035; MUHAMMAD Z. CHISHTI of 972 Corte Madera Avenue, #302, Sunnyvale, California 94086; and ROSS J. MILLER of 243 Buena Vista Avenue, #1513, Sunnyvale, California 94086; hereinafter referred to as "Assignors," are the inventors of the invention described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: ATTACHMENT DEVICES AND METHODS FOR A
DENTAL APPLIANCE

Date(s) of execution of Declaration: 3/11/02 + 3/18/02

Filing Date: October 29, 2001

Application No.: 10/040,269; and

WHEREAS, ALIGN TECHNOLOGY, INC., a corporation of the State of Delaware, located at 851 Martin Avenue, Santa Clara, California, 95050-2903, hereinafter referred to as "ASSIGNEE," is desirous of acquiring an interest in the invention and application and in any U.S. Letters Patent and Registrations which may be granted on the same;

For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these presents do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

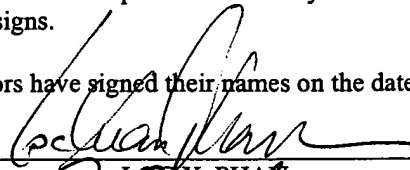
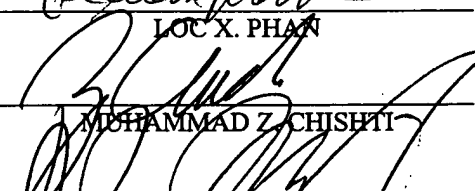
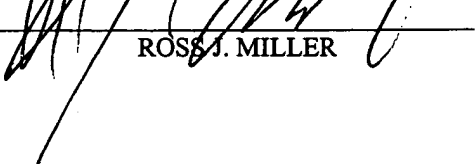
Assignors further agree that they will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including patent applications and instruments of transfer, and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

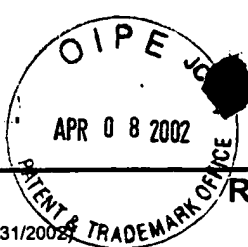
IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

Dated: 3/11/2002

Dated: 3/18/02

Dated: 3/18/02


LOC X. PHAN

MUHAMMAD Z. CHISHTI

ROSS J. MILLER



Attorney Docket No. 018563-001120US
Client Ref. No. AT-00014.1

Form PTO-1595

(Rev. 03-01)

OMB No. 0651-0027 (exp. 5/31/2002)

Recordation Form Cover Sheet
PATENTS ONLY

U.S. Department of Commerce
U.S. Patent and Trademark Office

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To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof

1. Name of conveying party(ies):

PHAN, LOC X.
CHISHTI, MUHAMMAD Z.
MILLER, ROSS J.

Additional name(s) of conveying parties attached? ☐ Yes ☒ No.

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other: _____

Execution Date: 03/11/02 and 03/18/02

2. Name and address of receiving party(ies)

Name: ALIGN TECHNOLOGY, INC.

Internal Address: _____

Street Address: 851 MARTIN AVENUE

City: SANTA CLARA State: CA ZIP: 95050

Additional names and addresses attached? ☐ Yes ☒ No

COPY

4. Application number(s) or patent number(s).

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No(s): 10/040,269

B. Patent No(s): _____

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: John K. Shimmick
TOWNSEND AND TOWNSEND AND CREW LLP
Two Embarcadero Center, 8th Floor
San Francisco, California 94111-3834
(415) 576-0200

6. Total number of applications and patents involved 1

7. Total fee (37 CFR 3.41): _____ \$40.00

- ☐ Enclosed
☒ Authorized to be charged to deposit account

8. Deposit account number: 20-1430

(Attach duplicate copy of this page if paying by deposit account)

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing is true and correct and any attached copy is a true of copy of the original document.

JOHN K. SHIMMICK
Name of Person Signing
Atty. Reg. No. 44,335

John K. Shimmick
Signature

26 MARCH 2002
Date

Total number of pages including cover sheet, attachments and document 2

Mail documents to be recorded with required cover to:
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Washington, D.C. 20231